



I FW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Huey Quoc Chan et al. Confirmation No.: 1275  
Serial No.: 10/791,008 Examiner: Unknown  
Filing Date: March 2, 2004 Group Art Unit: 3763  
Docket No.: 1001.1765101 Customer No.: 28075  
For: OCCLUSION BALLOON CATHETER WITH EXTERNAL INFLATION  
LUMEN

**TRANSMITTAL SHEET**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**CERTIFICATE UNDER 37 C.F.R. § 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to:

Mail Stop Amendment  
Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450  
on this 29<sup>th</sup> day of June 2004.

By

David M. Crompton

We are transmitting herewith the attached:

- [ ] Amendment  
[ ] No additional claim fee required  
[ ] The claim fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X 9=	\$	X 18=	\$
INDEPENDENT CLAIMS	-	=		X 43=	\$	X 86 =	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+ 145 =	\$	+ 290 =	\$
TOTAL				\$		\$	

[ ] A check in the amount of \$ \_\_\_\_\_ is enclosed. Itemization:

Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

[ ] Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established.

[XX] Other: Information Disclosure Statement and Form PTO-1449 and 2 cited non-U.S. patent/publication references.

[XX] Return Receipt Postcard (MPEP 503).

[XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:   
David M. Crompton, Reg. No. 36,772

David M. Crompton  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Huey Quoc Chan et al. Confirmation No.: 1275  
Serial No.: 10/791,008 Examiner: Unknown  
Filing Date: March 2, 2004 Group Art Unit: 3763  
Docket No.: 1001.1765101 Customer No.: 28075  
For: OCCLUSION BALLOON CATHETER WITH EXTERNAL INFLATION LUMEN

INFORMATION DISCLOSURE STATEMENT

**CERTIFICATE UNDER 37 C.F.R. § 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to:  
Mail Stop Amendment, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450  
on this 29th day of June 2004.

By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. § 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each non-U.S. patent/publication document or other information listed on the enclosed Form PTO-1449 is provided.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Huey Quoc Chan et al.

By their Attorney

Date:

6/29/04

David M. Crompton, Reg. No. 36,772  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



<b>FORM PTO-1449</b>		Atty. Docket No.: 1001.1765101	Serial No.: 10/791,008
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Huey Quoc et al.	
		Confirmation No.: 1275	
		Filing Date: March 2, 2004	Group Art: 3763

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AA	2002/01128598	09/12/2002	Nobles	
AB	4,490,421	12/25/1984	Levy	
AC	4,573,966	03/04/1986	Weigl et al.	
AD	4,796,629	01/10/1989	Grayzel	
AE	4,863,440	09/05/1989	Chin	
AF	4,906,244	03/06/1990	Pinchuck et al.	
AG	5,238,004	08/24/1993	Sahatjian et al.	
AH	5,752,934	05/19/1998	Campbell et al.	
AI	5,797,948	08/25/1998	Dunham	
AJ	5,868,705	02/09/1999	Bagaoisan et al.	
AK	6,045,531	04/04/2000	Davis	
AL	6,110,142	08/29/2000	Pinchuk et al.	
AM	6,136,258	10/24/2000	Wang et al.	
AN	6,143,015	11/07/2000	Nobles	
AO	6,146,357	11/14/2000	Addis	
AP	6,190,304	02/20/2001	Downey et al.	
AQ	6,248,121	06/19/2001	Nobles	
AR	6,395,208	05/28/2002	Herweck et al.	
AS	6,425,908	07/30/2002	Ravenscroft et al.	
AT	6,508,803	01/21/2003	Horikawa et al.	
AU	6,554,795	04/29/2003	Bagaoisan et al.	
AV	6,565,527	05/20/2003	Jonkman et al.	
AW	6,599,266	07/29/2003	Morse et al.	

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AX	6,612,999	09/02/2003	Brennan et al.	

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Translation Yes No
AY	EP 0 427 429 A2	05/15/1991	Europe	
AZ	EP 0 917 886 A1	05/26/1999	Europe	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.